

自我聲明書 - 個人客戶

Self-Certification Form - Individual

客戶須知：填寫此表格前，請先閱讀本節。

Important Notice to Customer(s): Please read this section before completing this form.

金融機構均不允許給予客戶稅務諮詢。

如果您對此表格或您的稅務居民身份定義有任何疑問，請聯繫您的稅務顧問或相關稅務機關。您可以從經濟合作與發展組織(OECD)自動訊息交換網站獲取更多詳情，包括已簽署自動交換信息協議的司法管轄區的名單及被請求交換的有關信息。
(<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>).

Financial institution are not allowed to provide tax advice.

If you have any questions regarding this form or defining your tax residency status, please speak to your tax advisor or relevant tax authority. Please find out more on the OECD website (<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>), including a list of jurisdictions that have signed agreements to exchange information automatically, along with details about the information being requested.

請注意：如果客戶為聯名賬戶，各聯名賬戶持有人必須各自填寫一份自我聲明書。

Please note that where there are joint account holders, each account holder is required to complete a separate Self-Certification form.

您可能被要求提供額外證明文件，以核實此表格上之內容。

You may be asked to provide additional documents to evidence the declaration made on this form.

第一部份：實體身份 Section 1: Entity Identification

個人資料 Personal Information:

賬戶持有人姓名 (姓氏, 名字) Name of Account Holder (First name, Last name)

出生日期 (日/月/年) Date of Birth (dd/mm/yyyy)

出生地 (城市, 國家) Place of Birth (City, Country)

居住地址 Residence Address:

室/層/座

樓宇/屋苑名稱, 街道名稱及號數

Room / Flat, Floor, Block

Building / Estate, No. & Name of Street / Road

地區/城市/城鎮 District/ City/Town

郵政編碼 Post Code

國家 Country

通訊地址 (如與上述營業地址不同) Correspondence Address (if different from the business address above):

室/層/座

樓宇/屋苑名稱, 街道名稱及號數

Room / Flat, Floor, Block

Building / Estate, No. & Name of Street / Road

地區/城市/城鎮 District/ City/Town

郵政編碼 Post Code

國家 Country

第二部份：稅務居民身份 Section 2: Declaration of Residence for tax purpose

本人聲明本人為下列司法管轄區之稅務居民。

I hereby confirm that I am, for tax purposes, resident in the following countries.

請填寫您為稅務居民所屬的所有司法管轄區及相應的稅務編號（包括香港在內）。如果您對您的稅務居民司法管轄區有任何疑問，請聯繫您的稅務顧問或相關稅務機關。 Please fill in ALL jurisdiction(s) and the associated TIN(s) where you are a tax resident (including Hong Kong). If you have any questions about your jurisdiction(s) of tax residency, please contact your tax advisor or relevant tax authority.

如賬戶持有人是香港/中國稅務居民，稅務編號是其香港/中國身份證號碼。

If the account holder is a tax resident of Hong Kong / China, the TIN is the Hong Kong / Chinese Identity Card Number.

如未能提供稅務編號，請填寫理由 A, B 或 C. If a TIN is unavailable, please provide the appropriate reason A, B or C:

理由 A 賬戶持有人的居留司法稅務管轄區並沒有向其居民發出稅務編號。

Reason A The jurisdiction where the Account Holder is a resident for tax purposes does not issue TINs to its residents

理由 B 賬戶持有人不能取得稅務編號。(請在下表中解釋不能取得稅務編號的原因) Reason B The Account Holder is unable to

Reason B obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the below table)

理由 C 賬戶持有人毋須提供稅務編號。(這理由只適用於居留司法管轄區的主管機關不需要賬戶持有人披露稅務編號。) Reason C TIN is not required. Select this reason only if the authorities of the jurisdiction of tax residence do not require the TIN to be

Reason C disclosed.

稅務居民司法管轄地 Jurisdiction of Tax Residence	稅務編號 TIN	如未能提供稅務編號，請填寫理由 A, B 或 C. Enter Reason A, B or C if TIN is unavailable

額外披露(如適用) Additional Disclosure (if applicable)

聲明及簽署 Declarations and Signatures

本人在此聲明本人已查閱此自我聲明書之內容及陳述，並盡本人所知及確信，並盡本人所知及確信，聲明內容均屬真實，聲明內容均屬真實、正確及完整。

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

本人明白既承認此聲明書及有關本人及須申報賬戶的任何資料可向任何本地或海外政府、監管或稅務機關或機構(包括但不限於中華人民共和國香港特別行政區政府稅務局及美國國稅局)提供，以及向適用法例、法規、慣例或指引(包括但不限於香港稅務條例、任何在本地實施的OECD「經濟合作與發展組織稅務金融訊息自動交換標準/通用報告準則」、美國《外國賬賬戶稅收合規法案》及在香港或任何其他相關司法管轄地已落實的同類稅務資訊共用制度)所規定或指示或國泰君安證券(香港)有限公司、國泰君安期貨(香港)有限公司、國泰君安外匯有限公司及/或國泰君安資產管理(亞洲)有限公司認為必要的任何其他本地或海外人士或單位提供；及可由國泰君安證券(香港)有限公司、國泰君安期貨(香港)有限公司、國泰君安外匯有限公司及/或國泰君安資產管理(亞洲)有限公司存儲、使用及披露，以使其遵從有關向本人提供服務的義務、承諾、安排或市場慣例。

I acknowledge that the information contained in this form and information regarding the account holder may be reported to any local or foreign governmental, regulatory or tax authorities or bodies (including but not limited to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region of the People's Republic of China and the U.S. Internal Revenue Service), and to any other local foreign persons or entities required or directed by applicable laws, regulations, practices or guidelines (including but not limited to the Hong Kong Inland Revenue Ordinance, any local implementation of the OECD Standard for Automatic Exchange of Financial Information in Tax Matters/Common Reporting Standard, the U.S. Foreign Account Tax Compliance Act (FATCA) and local implementation hereof, and any similar tax information sharing regime put in place in Hong Kong or any other relevant jurisdiction) or deemed necessary by Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited, Guotai Junan FX Limited and/or Guotai Junan Assets (Asia) Limited; and stored, used and disclosed by Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited, Guotai Junan FX Limited and/or Guotai Junan Assets (Asia) Limited so that it can comply with obligations, commitments, arrangement or market practices in relation to providing services to me.

本人承諾如以上聲明有任何情況改變，而影響本表格的第一部分識別個人的稅務收居民身份有任何變化或導致此自我聲明書之內容及陳述變得不再正確的信息時，將通知國泰君安證券(香港)有限公司、國泰君安期貨(香港)有限公司、國泰君安外匯有限公司及/或國泰君安資產管理(亞洲)有限公司，並於情況改變發生的三十日內向國泰君安證券(香港)有限公司、國泰君安期貨(香港)有限公司、國泰君安外匯有限公司及/或國泰君安資產管理(亞洲)有限公司重新提供正確的自我聲明書。I undertake to advise Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited, Guotai Junan FX Limited and/or Guotai Junan Assets (Asia) Limited of on any change in circumstances which affects the tax residency status of the individual identified in Section 1 of this form or cause the information contained herein to become incorrect, and to provide Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited, Guotai Junan FX Limited and/or Guotai Junan Assets (Asia) Limited with a suitably updated Self-Certification form within 30 calendar days of such change in circumstances.

本人聲明本人為賬戶持有人。

I certify that I am the account holder of all the account(s) to which this form relates.

賬戶持有人簽署
Signature of Account Holder

正楷姓名
Print Name

日期 (日/月/年)
Date (dd/mm/yyyy)

警告：根據《稅務條例》第80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第3級（即\$10,000）罰款。
WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000)

如此表格的中、英文兩個版本有任何不相符之處，應以英文版本為準，所有您在此聲明書提供的資料會被視為回應英文版本原文。
In the event of any inconsistency between the English and Chinese language text on this Self-Certification form, the English version will prevail and all information provided by you on this form will be treated as addressing the English text.